

Attachment 1.13

Health, Safety and Environment Requirements

PROJECT NEXT HEALTH, SAFETY AND ENVIRONMENT REQUIREMENTS

The Concessionaire (Capital Beltway Express LLC) and Transurban (USA) Inc. have an ongoing commitment to environmental, sustainability and safety best practices, and it is expected that all design and construction services will be delivered to support these principles. In meeting these principles, the Design-Builder must operate in accordance with a formal Health, Safety and Environmental Management System (HSEMS) comprising an Occupational Health and Safety Management System (OHSMS) and an Environmental Management System (EMS) that comply with applicable federal and state occupational health, safety and environmental laws, including (at a minimum) documented policies and processes addressing:

- Formal hazard and risk assessment, including environmental aspects
- Maintenance of health, safety, and environment (HSE) records, including permits
- Timely and thorough HSE reporting including leading and lagging indicators
- Incident prevention and management, including investigation, root cause analysis and corrective action tracking and closure.

Transurban strongly encourages its contractors to maintain a light-duty (or modified work duty) policy, and will provide preferred status to contractors with light-duty policies during the contract award process. Transurban only requires that contractors have a policy in place providing that light-duty is available whenever it will be beneficial to the worker and practical for the company to implement. Transurban does not require that its contractors guarantee light-duty. Full responsibility for determination of when light-duty can be provided, and management of the process, rest with the licensed medical professional and the worker's employer.

The Design-Builder's HSE Management System must be, to the extent applicable, consistent with Transurban's current HSE System Policy Manual (TUSA-POL-002-10) and with Contractor HSE Management Procedures (TUSA-PRO-007-11), which are appended to this document.

CONTRACT HSE REQUIREMENTS

General Requirements

The Design-Builder recognizes the importance of performing the work in a safe and environmentally conscious manner so as to prevent damage, injury or loss to:

- All individuals at the Project, employees, contractors, visitors and wider community;
- The work, including materials and equipment incorporated into the work or stored on-site or off-site; and
- All other property at the Project or adjacent thereto.

The Design-Builder assumes responsibility for implementing and monitoring all health, safety and environment controls/ initiatives and programs related to the performance of the work. The Design-Builder and subcontractors shall comply with:

- All Laws relating to health, safety and environmental protection;

Execution Version

- Implementing corrective and preventative actions to track to closure and communicate lessons learned
 - Coordinating preferred professional medical services providers
 - Leveraging light duty to mitigate lost time
- c. Emergency Procedures: The Design-Builder is responsible for developing and complying with project-specific emergency procedures. The Design-Builder is also responsible for coordination with local emergency responders and the Owner during an emergency.
- d. HSE Requirements and Rules: The Design-Builder is responsible for develop and complying with project-specific HSE Requirements and Rules.
- e. Disciplinary Processes for Violation of Project HSE Requirements and Rules: The Design-Builder is responsible for developing and complying with project-specific disciplinary processes for violation of project HSE requirements and rules.
- f. Specific HSE Orientation: The Design-Builder is responsible for conducting a project specific HSE orientation that addresses all the hazards and risks associated with the work. Any person wishing to gain access to the project work locations must be required to complete orientation prior to starting work. New or refresher orientation is required for new types of work and prior to any major changes in the work zone set-up associated with construction phasing or sequencing.
- g. Job Hazard Analysis (JHA): The Design-Builder is responsible for assuring that all work to be performed on the project is conducted under a Job Hazard Analysis. The contractor is also responsible for conducting regular and periodic reviews of job hazard analyses.
- h. Daily Pre-Task Plan Program: The Design-Builder is responsible for assuring that all project tasks are conducted using a daily pre-task plan, which has been developed with the input of the workers required to perform the work and signed by the workers. The contractor is also responsible for conducting audits of pre-task plans.
- i. HSE Observation Program: The Design-Builder is responsible for developing and implementing a project-specific HSE observation program, to include regular management site inspection visits.
- j. Monthly HSE Meeting Program: The Design-Builder is responsible for conducting, at a minimum, the following monthly project HSE meetings:
- **HSE Performance Reviews.** At a minimum, attendance will include representatives from each of the key project stakeholder organizations. This meeting will focus on reviewing overall HSE performance and the planned strategic actions to improve HSE performance.
 - **HSE Leadership Team.** At a minimum, the agenda of this meeting will include a review of lagging and leading HSE performance metrics against strategic key performance indicators (KPIs). The minimum attendance will include the:

Execution Version

- Concessionaire's Authorized Representative, Construction Manager and HSE Representative;
- Design-Builder's Project Manager, Construction Manager and HSE Representative;
- Representatives from each current and active subcontractor.

The HSE Leadership Team will operate under a charter to provide strategic direction for continuing improvement of the project HSE program, and will:

- Review the following performance metrics:
 - HSE KPIs, to assure they are suitable and remain suitable for the entire project
 - Analyses of trends or incidents, near misses, hazards, observations, and implement appropriate corrective actions
 - Status of corrective actions and HSE Leadership Team actions
 - Effectiveness of hazard and risk controls
 - Innovative ideas and actions to improve HSE performance
 - Undertake project regular HSE Walks and establish a project HSE observation program that encourages all parties to make and record HSE observations (both positive and areas for improvement) with a view to discussing trends at the monthly meetings.
- k. HSE Audits: The Design-Builder is responsible for implementing and following a formal HSE audit program of the project on a predetermined schedule. The Concessionaire staff shall be invited to participate in any Design-Builder HSE Audits.
- l. Substance Abuse Screening Program: The Design-Builder is responsible for implementing and complying with a substance abuse screening program including pre-assignment, random, post incident, and reasonable suspicion screening.

4. Subcontractor HSE Qualification

The Design-Builder is responsible for implementing a process for evaluating potential subcontractors' HSE performance prior to awarding contracts.

5. HSE Incentive Program

The Design-Builder is responsible for implementing an HSE performance incentive program.

6. Monthly HSE Reporting

The Design-Builder will on a monthly basis report to the Concessionaire:

- Total hours worked for the month;
- Total hours worked to date on the project;
- Number of near misses, first aid cases, OSHA Recordable Injuries, Lost Time Injuries and fatalities;

Execution Version

- A summary of the number of hazards reported by the Design-Builder’s employees, management staff, field supervisors, and subcontractors;
- Progress on any HSE related non-compliances / non-conformances identified from Concessionaire audits;
- Any notice of violations (NOV) received from regulatory agencies;
- A summary of all HSE training conducted, including attendance;
- A summary of all other notable health, safety and environmental initiatives; and
- The minutes of HSE meetings held.

Appendix A – Health, Safety and Environment Management System Policy Manual (TUSA-POL-002-10)

Appendix B – Contractor HSE Management Procedure (TUSA-PRO-007-11)

HSE Management

Health, Safety and Environment Management System Policy Manual

**A Transurban (USA)
HSE Management System Policy**

Document #

TUSA-POL-002-10

Created

19-Mar-2012

Updated

1-Jan-2018

Controller

Jim Evans

Owner

HSE Steering Committee

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Health, Safety and Environment Management System Policy Manual

1. Introduction

Purpose

This HSEMS Policy Manual is designed and developed to describe the Management System for Health, Safety and Environment (HSEMS) within Transurban USA Inc. (TUSA).

It describes the implementation framework per OHSAS 18001 / ISO 45001, and corporate Transurban, Holdings Limited (TU) requirements, where applicable.

It is issued either as a Controlled or Master Copy and when printed, it is no longer considered a Controlled Copy, but only for information purposes.

Any changes in policies, management structure and issuance or withdrawal of legislation and/or standards, which affect the organization, may require amendment to this HSEMS Policy Manual. All requisitions for changes to this TUSA HSEMS Policy Manual are reviewed and approved by authorized personnel in accordance with the HSE Planning Management and Review procedure, reference TUSA-PRO-013.

This HSEMS Policy Manual refers to an applicable set of reference documents, procedures and instructions within TUSA, setting the requirements for Health, Safety and Environment (HSE) compliance and Continual Improvement.

Profile

Transurban (USA) Inc. is a toll road owner and operator with interests in multiple toll roads in Virginia. Our focus is on partnering with governments to deliver roads that meet community needs over the long term.

Scope of the company

TUSA strives to supply services to the highest HSE standards in order to provide environmentally responsible work practices and a safe working environment for employees, visitors, contractors and other persons working for or on behalf of TUSA:

- TUSA must define its HSE objectives.
- TUSA must identify and formalize the processes required to achieve these HSE objectives.
- TUSA must monitor these processes using audits and other methods in order to ensure compliance and to improve the processes.
- TUSA must train staff in these processes, provide them with the necessary skills and provide adequate resources to achieve HSE objectives.
- TUSA must measure performance in order to ensure that the HSE objectives are being met.
- TUSA must carry out review to assess the effectiveness of the HSE Management System and performance against agreed objectives

All levels of management are to consult with employees and/or HSE Representative/s on any issues that affect Occupational Health, and Safety of employees, Contractors and visitors (refer to TUSA-PRO-004 HSE Communication, Consultation and Training)

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Leadership team

The Leadership Team have ultimate responsibility for ensuring that the company's HSE policy's aims and objectives as well as the requirements of the relevant HSE Legislation are met and implemented within their respective business area/s. They are responsible for the implementation and maintenance of the HSEMS, ensuring that sufficient resources are available for the development, and implementing, maintaining, and reviewing the HSEMS, including:

- Ensuring that the HSE Management Plan is implemented in their area and reporting on performance;
- Allocating responsibility for the HSEMS within in their area;
- Setting expenditure priorities and providing a budget allocation for HSE;
- Ensuring implementation of HSE risk management programs (i.e. Hazard reports, HSE risk assessments);
- Ensuring the approved uniform approach is adopted by areas of the business;
- Ensuring compliance with relevant legislation, regulations, standards and codes of practice within their respective area.

People leaders

People Leaders are responsible for ensuring the effective management of HSE within the work area, including:

- Allocating resources to complete appropriate documentation and implement actions;
- Ensuring any reported injuries and hazard are investigated and rectified;
- Ensuring risk assessments are conducted and hazards eliminated, or minimized;
- Consulting with and disseminating HSE information to employees;
- Supervising the HSE aspects of work undertaken by employees;
- Promoting HSE awareness and appropriate behavioural and cultural change; and
- Allowing adequate resources and time for employees to perform their HSE functions.

HSE lead

The TUSA HSE Lead will:

- Monitor that HSEMS requirements are established, implemented and maintained in accordance with the company policies and procedures;
- Report on the performance in accordance with and effectiveness of the HSEMS to management;
- Advise the HSE Steering Committee and Leadership Team on reviewing performance as a basis for improvement of the HSEMS.

The third action can be delegated to a member of the HSE Steering Committee as appropriate.

Human resources

Human Resources are available to provide guidance and assistance on HSE related injuries, hazards and risk assessments, and communicate HSE information to their client groups.

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Employees

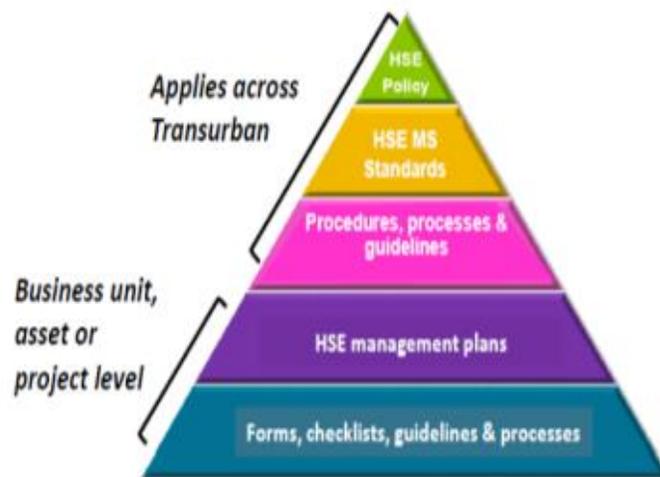
Employees will:

- Abide by TUSA's policies, procedures and processes and any reasonable instruction in relation to HSE;
- Contribute to the development, implementation and ongoing improvement of the HSEMS and culture;
- Not willfully misuse items provided in the interest of HSE
- Ensure acts or omissions do not impact on the safety of themselves and of others
- Report all incidents, near-miss, unsafe working practices or working conditions to a people leader as soon as possible.

2. Management system requirements

The Transurban HSEMS is comprised of five levels as shown in figure 1.

Figure 1. Transurban HSEMS structure



These include:

- [Transurban HSE Policy](#)
- Transurban HSEMS Standards
- Transurban Procedures, processes and guidelines
- TUSA HSE management plans
- TUSA and Transurban forms, checklists, guidelines and processes

The TUSA HSEMS structure is aligned with the British Standard, *OHSAS 18001:Occupational Health and Safety Management Systems*.

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Health, safety and environment management system policy

At the highest levels of management, we are committed to protecting the health and well-being of our customers, employees, contractors and visitors and to promoting safe sound business practices. This commitment includes the prevention of HSE injuries and illnesses to employees, contractors and visitors. We strive to comply with Corporate, National, State and Local, HSE requirements, and our commitment to reducing risk and associated results can be demonstrated through compliance with the Transurban HSE Policy.

Annually, Transurban establishes HSE objectives and KPIs that are cascaded throughout the organization and reviewed monthly. After communication of the Transurban HSE policy all employees and/or persons working for or on behalf of the organization are expected to fulfill the requirements of this policy in all of their work-related efforts and decisions. Periodic communication on objectives will take place with employees and other interested parties as required.

The Transurban HSE policy is reviewed at least every two years by senior company management for suitability, adequacy, and effectiveness. All non-conformities and failures have to be dealt with and must trigger root cause analysis, corrective actions and action plans. The owner of each process is responsible for implementing appropriate corrective actions, for tracking the status of each corrective action until completion, for verifying their effectiveness over time and for recording relevant information. HSE Audit Procedure, TUSA-PRO-002 is established to define requirements for control of non-conformities.

Management commitment

Management in all functions and at all levels demonstrates their commitment to the TUSA HSE Management System acting according to OHSAS 18001 requirements to manage and improve the TUSA HSE Management System throughout the organization.

Management is responsible for:

- Communicating, fully implementing and OHSAS 18001 requirements;
- Establishing the Transurban HSE Policy and the corresponding objectives;
- Ensuring availability of necessary resources (human resources, skills, technology, finances) at all times;
- Ensuring communication of HSE requirements throughout the organization;
- Conducting periodic, planned management reviews to verify that objectives are met;
- Driving Continual Improvement throughout the organization;
- Appointing the HSE Steering Committee Chair as the management representative for the TUSA HSE Management System; and
- The TUSA-PRO-020 USA Operations Emergency Procedures to identify and respond to unplanned events, potential emergencies or disasters. It also considers the continuity of the business operations.

Identification and evaluation of aspects, impacts and risks

TUSA has established, implemented and maintains procedures to identify HSE hazards associated with its activities, products and services within TUSA control and over which TUSA has an influence. Risks associated with potential hazards are assessed, appropriate control measures are determined. Those risks are determined, which have or can have significant impact HSE hazards as explained in the HSE Risk Assessment and Hazard Reporting Procedure, TUSA-PRO-010.

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Identification of legal and other requirements

As part of the TUSA HSE Policy, the organization is committed to legal compliance. TUSA has identified and has access to the applicable legal requirements and other requirements related to the TUSA HSE Management System. The HSE Planning, Management and Review Procedure, TUSA-PRO-013 is established to identify and access legal and other Corporate, HSE requirements that are applicable to TUSA operations and activities. These requirements are periodically evaluated to determine the degree of compliance. TUSA ensures that these applicable legal and other requirements are taken into account in establishing, implementing and maintaining the TUSA HSE Management System.

Information necessary to ensure compliance is acquired through legal publications, trade associations, Federal, State and Local Agency websites, corporate counsel and consultants (reference the HSE Legal Register, TUSA-REG-002).

Change management

When significant changes occur in the organization to systems or equipment, the HSE Planning, Management and Review Procedure, TUSA-PRO-013 is employed to assure integrity and compatibility with the TUSA HSE Management System. Changes are assessed on their impact on HSE.

The HSE Lead is required in the review and approval process for change management.

Changes to legal are explained in the HSE Planning, Management and Review Procedure, TUSA-PRO-013.

Changes that affect or potentially affect the TUSA HSE Management System are also considered with respect to their effect during the management review.

Contingency planning

TUSA has established, documented and maintains procedures for identifying, and responding to unplanned events, potential emergencies or a disaster. These procedures seek to prevent or mitigate the consequences of any such occurrence. The organization reviews and revises, where necessary these procedures in particular after the occurrence of an emergency.

HSE Planning, Management and Review Procedure, TUSA-PRO-013 contains procedures that help outline how to deal with emergency situations and each TUSA site.

Objectives and key performance indicators

The Transurban Corporate HSE Management System objectives and key performance Indicators are guided by the TUSA HSE Management System Policy and defined business priorities:

- Directives from Corporate
- Management Review for previous year
- Business Priorities

The Transurban Corporate HSE objectives and Key Performance Indicators are created at the corporate level.

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3. Roles, responsibilities and authorities

People leader responsibilities

- Managing resources in order to meet objectives and targets;
- Communicating to employees their roles and responsibilities to support TUSA HSE Management System and the Transurban Corporate HSE objectives and Key Performance Indicators;
- Achieving the Transurban Corporate HSE objectives and and Key Performance Indicators;
- Measuring and monitoring Performance Indicators and driving continual; and
- Reporting the conformity, compliance, effectiveness and efficiency of its process at the management review.

Emergency management team responsibilities

Responsibility of the Emergency Strategy Team (EST) / Crisis Management Team (CMT):

The EST/CMT consists of the following core members:

- TUSA Group General Manager
- NALT
- Operations
- Technology
- Corporate Communications
- Security
- Health, Safety and Environment
- Human Resources
- Facilities
- Finance
- Legal
- Customer Services

The EST/CMT has responsibilities during emergencies,including:

- conducts crisis preparedness efforts
- leads and manages the crisis at local level
- coordinates all activities during the course of a crisis
- manages communication and contact with internal stakeholders
- is the central point of contact for internal communication exchange
- maintains the crisis management log book
- conducts the post crisis review

HSE steering committee responsibilities

The HSE Steering Committee consists of the following core members: Representatives from the various departments/business groups within the TUSA site. The HSE Lead serves as advisor to the HSE Steering Committee.

- holds regular meetings identifying and discussing emerging issues related to their area of responsibility;

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HSE MANAGEMENT POLICY

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- assesses potential risks surrounding an issue/incident;
- prepares a report of issues and actions taken or proposed to be discussed in regular meetings of the HSE Steering Committee;
- reviews the progress of incident management;
- reports all relevant health and safety issues/incidents to the TUSA HSE Management System NALT and EST / CMT if applicable;
- monitors and measures Health, Safety and Environment Objectives, Targets, Programs and KPIs

HSE lead responsibilities

- ensuring that necessary HSE competences are in place and developed to meet HSE Management System requirements;
- ensuring that relevant processes and requirements are communicated and implemented to achieve compliance and drive improvement;
- promoting HSE awareness;
- challenging of all functions across the value chain to drive continual improvement for HSE Management System
- identifies and maintains the HSE legal register including evaluation of HSE and TU corporate compliance;
- ensure relevant HSE training and education of TUSA
- ensure the TUSA HSE Management System is maintained and updated, and report to the organization's top management on the effectiveness and suitability of the TUSA HSE Management System.establishes, develops, implements and maintains HSEMS documentation and records within TUSA;
- oversees contractor qualifications and HSE Management System orientation
- manages HSE Management System incident investigation and reporting through Enablon

Facilities manager responsibilities

- coordinates drills for severe weather and fire;
- maintains all emergency equipment
- maintains all safety information boards
- maintains all emergency evacuation maps and related training
- coordinates First Aiders, including training

4. Operational control

TUSA has identified those operations and activities that are associated with identified significant operational hazards consistent with the TUSA HSE Policy. These activities and operations are planned in order to assure they are carried out under specified conditions by:

- establishing and maintaining procedures to cover situations where their absence could lead to deviations from the TUSA HSE Policy, objectives and targets;
- stipulating operating criteria in the procedures where required; and
- establishing and maintaining procedures related to the identified significant environmental aspects and operational hazards of goods and services used by the organization and communicating relevant procedures and requirements to suppliers and contractors.

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Management of resources

TUSA makes the necessary human and financial resources available for implementing TUSA HSE Management Systems, achieving TUSA HSE objectives and driving improvement across all processes.

The training process defines and documents the practice to determine competence, awareness and training of all personnel, refer also to the

HSE Communication, Consultation and Training procedure, TUSA-PRO-004.

An appropriate training plan is defined for employees. This training plan is in line with the following principles:

- Through the Employee Development process, competence gaps of employees with respect to their role(s) are identified;
- a comprehensive set of relevant training solutions is provided to address the competence needs, taking into account any change in equipment, processes, TUSA documents, roles and responsibilities;
- the effectiveness of training is systematically evaluated. Education and training records are maintained for all employees;
- employees are aware of the importance of their roles and tasks affecting TUSA HSE Management System and how they contribute to the achievement of HSE objectives;
- the Manager (e.g. department head/team leader) is responsible for enforcing the procedure and ensuring its effectiveness.

The HR function strives to align the training requirements in relation to the objectives of the unit.

Managers need to provide sufficient resources and infrastructure to achieve TUSA HSE objectives.

Documentation requirements

The TUSA HSE Management System documentation includes:

- Transurban HSE Policy
- An HSE Management System Policy Manual and related Process Descriptions and Procedures
- Corporate requirements and Corporate standards and
- Records of the activities performed in line with all TUSA requirements

There are the following types of documents:

Internal Documents:

- Instructions/Procedures from Corporate
- Guides
- Documents needed to satisfy legal requirements
- Internal Policies, Procedures, and Instructions
- Contracts

External Documents:

- HSE, OHSAS 18001 / ISO 45001 Standards, and Documents from other institutions
- Equipment Manuals
- Drawings
- Permits/Licenses
- Manuals

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- Safety Data Sheets (SDS)

HSE Planning, Management and Review Procedure, TUSA-PRO-013 and HSE Record Management Procedure, TUSA-PRO-017 is established in order to control documents and records in an effective way and maintain sufficient evidence that compliance has been achieved throughout all operations.

HSE Planning, Management and Review Procedure, TUSA-PRO-013 is established and implemented by the HSE Management Representative to ensure that:

- Documents are reviewed and updated as necessary, and are approved before issuing;
- Only the current versions of documents are in use;
- Relevant status information, including main changes, is indicated in each document;
- Distribution and disposal of documents are controlled.

HSE Record Management Procedure, TUSA-PRO-017 is set up and implemented by the HSE Management Representative to ensure that records:

- Are properly identified and maintained (stored, protected, retrieved, retained, disposed of) to provide evidence of compliance to all requirements and implementation of TUSA HSE Management System;
- Are readily available for data analysis and auditing.

The HSE Lead is responsible for ensuring that all documents applicable to TUSA HSE Management System are available and maintained on the TU USA portal or intranet. They are also responsible for ensuring that up-to-date procedures are implemented in their respective areas.

Communication

TUSA-PRO-004 HSE Communication Consultation and Training, tells how the organization communicates effectively internally and externally with Interested Parties. Information received from Interested Parties (HSE, Group) that has the potential to affect occupational safety and health will be reviewed by the TUSA Management Team / HSE Team and other relevant personal and the appropriate actions will be taken and records maintained.

Management ensures that sufficient information on Health, Safety and Environment issues is given by authorized personnel to:

- Interested parties;
- Vendors, customers & consumers; and
- Regulatory authorities.

The Transurban HSE Policy is available to the public on the Transurban website. All other decisions regarding external communications requests will be made on a case by case basis.

Crisis management

- TUSA strongly encourages a proactive working relationship with local authorities and the media
- Any issue or incident (either within TUSA or with our competitors), regardless of how small, has the potential to become a crisis if not properly managed

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- TUSA has established procedures to prevent and manage incidents / crisis situations in a manner that protect our customers, our assets and TUSA's image & brand (TUSA-PRO-020-11 USA Operations Emergency Procedures)

The TUSA Group General Manager is responsible for identifying the appropriate personnel for a the EST / CMT. Additional response teams will be formed based on nature of crisis.

The HSE Lead is a predefined member of any HSE response team. The HSE Lead coordinates HSE across the various departments/ business groups within TUSA sites.

Incident investigation and management

The organization has established a work instruction [Incident Reporting and Management Procedure](#), to record, investigate and analyze incidents in order to assess and manage all incidents promptly. The [Basic Investigation Form](#) can be used to capture the necessary data to facilitate the investigation, analysis and corrective actions.

Monitoring and measurement

- All TUSA processes will be regularly measured with relevant performance indicators to demonstrate their ability to achieve planned results and to drive continuous improvement.
- People leaders are responsible for monitoring this process performance based on the defined indicators and their monitoring frequency, to achieve planned results and continuous improvement.
- People leaders are responsible to ensure that root cause analysis is conducted for non-conformities and corrective and preventative actions implementation is effective.

Corrective and preventative actions follow the process of root cause analysis for non-conformities and implementing effective corrective or preventative actions.

Analysis of data

Data of processes are analyzed to demonstrate compliance, identify trends, determine corrective and preventative actions and drive continuous improvement towards customer and consumer satisfaction.

Identification of root causes of non-conformities requires analysis of data in order to determine potential problems and to implement the relevant corrective or preventative actions.

Evaluation of compliance

Consistent with TUSA commitment to compliance, TUSA evaluates compliance with applicable legal requirements on an on-going basis utilizing the following methods.

- Near miss observations and reporting
- Internal inspections
- Internal audits
- External audits

The organization keeps records of observations, internal and external inspections, and external and internal audits.

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The HSE Lead will ensure that the TUSA HSE programs and procedures are in compliance with Group, Federal, State and Local Regulations.

Internal and external audit

TUSA conducts internal audits by competent Internal Auditors. Audits are conducted in accordance with HSE Audit Procedure, TUSA-PRO-002. Frequency of audits of specific areas and/or specific requirements will vary with the need. The variation will be reflected in the required audit plans along with the scope, the methods, and the assigned auditors. Internal audits will be carried out at least once a year to:

- Verify compliance with all requirements
- Identify opportunities for continuous improvement
- Provide relevant recommendations in case of deviation

The criteria for auditor independence and clarification of auditor responsibilities are found in the HSE Audit Procedure, TUSA-PRO-002. The results are recorded in ConnectU, TUSA-PRO-017 to enable management and others to take timely corrective action and to allow for proper verification of effectiveness in accordance with the HSE Audit Procedure, TUSA-PRO-002. Managers are responsible for timely management of corrective actions and follow-up activities that include investigation of root causes, verification of the action taken and reporting of the results.

External TUSA audits will be conducted by approved independent auditing bodies selected by TUSA.

Handling of non-conformities

TUSA has established, implemented and maintains procedures for mitigating actual or potential nonconformities and for taking corrective and preventative action. Action items and opportunities for improvements from assessments and audits are listed with responsible individuals. All proposed corrective and preventative actions are reviewed prior to implementation.

All non-conformities and failures have to be dealt with and must trigger root cause analysis, corrective actions and action plans.

The owner of each process is responsible for implementing appropriate corrective actions, for tracking the status of each corrective action until completion, for verifying their effectiveness over time and for recording relevant information.

HSE Audit Procedure, TUSA-PRO-002 is established to define requirements for control of non-conformities.

General improvements

TUSA Continuous Excellence builds on our existing safety culture and will take TUSA to the next level of sustainable, continual improvement.

The Continual Improvement process includes:

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HSE MANAGEMENT POLICY

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Controller Jim Evans

Created 19 March 2012

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- Identifying areas for improvement by evaluating TUSA–related data, the results of verification activities and the occurrence and resolution of issues;
- Defining and selecting the improvement targets; developing and implementing strategies to meet the targets; and
- Verifying that targets are achieved and formalizing successful changes

Continual Improvement activities are applied to every process and are supported by various programs that help in improving safety and health through continual improvement thereby meeting the requirements of our stakeholders.

The continuous improvement process is:

- A part of the Transurban HSE Policy;
- Reflected in the Transurban HSE objectives;
- A part of the actions taken upon audit results;
- Driven by opportunities surfacing from data analysis;
- Always a result of corrective and preventative action; and
- A required output from management review.
- Internal audits
- External audits

The organization keeps records of observations, internal and external inspections, external and internal audits, and corporate audits.

The HSE Lead will ensure that the TUSA HSE programs and procedures are in compliance with Group, Federal, State and Local Regulations.

Corrective action

All non-conformities have to be dealt with and must trigger root cause analysis, corrective actions and action plans. Non-conformities are handled in accordance with the HSE Audit Procedure, TUSA-PRO-002.

Managers are responsible for implementing appropriate corrective actions, for tracking the status of each corrective action until completion, for verifying their effectiveness over time and for recording relevant information.

The HSE Audit Procedure, TUSA-PRO-002 covers the following aspects:

- Determination of root causes of non-conformities;
- Definition and implementation of proper corrective actions to rectify non-conformities;
- A tracking system that is in place to verify effectiveness and efficiency of the corrective actions; and
- Records of the results of action taken.

Preventative action

In order to avoid the occurrence of potential problems related to each process, appropriate preventative actions are taken. The HSE Audit Procedure, TUSA-PRO-002 is established to:

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Health, Safety and Environment Management System Policy Manual

- Identify potential non-conformities, the associated risks and their root causes using various tools, reference the Root Cause Analysis Methods, PRLEG017; and
- Determine which Preventative actions are necessary, and which actions need to be implemented according to the risk and the process, such as the implementation of specific prerequisite programs or monitoring activities.

Managers are responsible for implementing the preventative actions, for tracking the status of each preventative action until completion, for verifying their effectiveness over time, and for recording relevant information.

Management review

The HSE Management Review is a periodic review conducted at least once a year, of HSE performance data from all processes across the value chain and all levels of the organization, including data from external business partners. This is to ensure continuing suitability, adequacy and effectiveness of the system.

The Management Review Meeting includes assessing opportunities for improvement and the need for changes to TUSA HSE Management System.

Refer to the HSE Planning, Management and Review Procedure, TUSA-PRO-013.

Input

Performance and opportunities for improvement are determined by reviewing the following items:

- Previous management review meeting;
- Policy and TUSA HSE Management System documentation;
- Product and process monitoring and measurement data including KPIs;
- Legal (Statutory and Regulatory) Changes;
- Audits / inspections;
- Vendor / contractor data;
- Interested party feedback;
- Corrective and preventative actions;
- Changes affecting TUSA HSE Management System;
- Updates / recommendations for TUSA HSE Management System improvement; and

Output

Actions associated with the following are included in the output from management review:

- Decisions and actions to TUSA HSE Management System implementation as well as the allocation of resources and training plans;
- Identification of medium and short-term and strategic Continual Improvement opportunities;
- Definition of relevant action plans;
- Improvements related to interested party requirements; and
- Objectives and targets for the next period.

Contractor HSE Management Procedure

**A Transurban (USA)
HSE Management System Procedure**

Document #

TUSA-PRO-007-12

Created

2-Jun-2012

Updated

18-Jul-2018

Controller

Jim Evans

Owner

HSE Steering Committee

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Contractor HSE Management

1 Summary

Purpose	The purpose of this Procedure is to document the HSE management minimum requirements for Contractors working for Transurban.
Scope	Minimum requirements for Contractor HSE performance.
Functional Responsibility	Applies to any Contractor working on Transurban owned or controlled assets in North America.

2 Related Documents

Policy	<ul style="list-style-type: none">HSE Policy (POHSE001)
Documents	<ul style="list-style-type: none">HSE Definitions and Explanations (TU-ALL-HSE-GDE-0010)HSE in Contracts Overview (TU-ALL-HSE-FRA-0002)Incident Management Procedure (TU-ALL-HSE-PRO-0002)HSE Risk Management Procedure (TU-HSE-PE-02)Audit and Inspection Procedure (TU-HSE-PE-16)HSE Communication, Consultation and Training (TUSA-PRO-004)Safe Work Method Statement (TUSA-PRO-014)Asset Management Procedure (TU-HSE-PE-09)HSE Document Management Procedure (TU-HSE-PE-04)Operations Emergency Procedures (TUSA-PRO-020)
Forms	<ul style="list-style-type: none">Contractor Assurance Plan (TU-ALL-HSE-FOR-0004)Authorization To Work (ATW)Safe Work Method Statement Template (FOHSE028)HSE Contractor Qualification Form (TUSA-FOR-040)Transport HSE Monthly Reporting System (online)Transport Contractor Details Form
Other	<ul style="list-style-type: none">29CFR 191029CFR 1926National Environmental Policy Act

Contractor HSE Management

3 Definitions

Responsible Officer	Transurban employee authorized to review and award contracts
Responsible Manager	Transurban employee appointed to manage a contract.
Visitor	A person who will be at a Transurban site for a short period of time and will be escorted by a Transurban employee at all times.
Contractor	An organization who provides goods and/or services, or performs work for a set price or rate. The Contractor may be self-employed, have employees or have business partners. This excludes Transurban employees who are on employment contracts, temporary staff engaged through an employment agency or master vendor contract.
Principal Contractor	The Principal Contractor appointed by Transurban to manage a project, or operate an asset, and to perform work. Transurban may authorize the Principal Contractor to manage or control the workplace to the extent necessary to discharge the duties imposed on or by the principal contract.
Sub-contractor	An organization or person engaged and paid by a Contractor or Principal Contractor to perform work or provide goods and/or services.
Occupier	A person occupying a building, structure, or plant, over which they have management or operational control (excludes financial control).
HSE	Health, Safety and Environment
High Risk Construction Work	Type of construction work specified by legislation or regulations, which requires Safe Work Method Statements to be prepared prior to the commencement of work. Includes, but not limited to, working at heights above six feet, trenches or shafts deeper than five feet, confined spaces, tunnels, working in or around roadways / traffic / railway lines, electrical installations or services, temporary construction supports, and removal of lead or asbestos.
Non-Compliance	It is evident that there is a deficiency or failure to meet the standards / system requirements, there was a failure to follow the documented procedures and/or there was evidence of instances of apparent legal non-compliance.

Contractor HSE Management

4 Background

Transurban's HSE Policy (POHSE001) states:

Transurban is a toll road owner and operator with a vision to ensure that we provide a healthy and safe work environment for every employee, contractor, visitor and other persons, and that we minimise impacts to our environment. We take an integrated approach to the management of health, safety and environment (HSE) risks.

To achieve this vision Transurban has established the following norms:

- Enhancing and continually improving our HSE culture including communication of the HSE Policy to all persons working for or on behalf of Transurban. This policy is available upon request;
- Eliminating or minimizing risks that might cause injuries;
- Continually improving our HSE management system and HSE contractor management procedures;
- Training and supporting employees and informing Contractors of relevant workplace hazards;
- Strengthening HSE compliance and raising awareness of relevant HSE legislation and other requirements;
- Sharing relevant information on health, safety, and environmental issues.
- Monitoring and continuously improving our HSE performance.

To effectively ensure that Transurban provides a safe working environment for Contractors it is necessary to document our HSE performance expectations and requirements for Contractors in this procedure.

5 Approach to Contractor HSE Management

Transurban's approach to contractor HSE Management is based on a determination of the level of risk associated with the work to be performed.

- Low Risk - Exposure to minimal risk, such as those associated with work in an office environment (i.e. - customer services staff, cleaning staff or other office administrative work).
- Medium Risk – Exposure to risk above that normally associated with typical office work. Includes roadside work performed behind barriers. This would include IT support staff.
- High Risk – Exposure to significant risk, such as working alongside live traffic, electrical work, or on major construction projects.

Every Contractor providing services on a Transurban asset (office or road) must complete and submit the Contractor Details form to gain access to Transurban's Transport database, for providing monthly HSE reports as described below.

The following sections detail the HSE requirements for each level of risk referred to above.

Contractor HSE Management

6 Low Risk Contractors

The contract must ensure the requirements of this section are clearly defined and agreed by both parties.

6.1 Contractor HSE Management Plans

The Contractor must provide an HSE Management Plan that includes all HSE risks and the planned mitigating actions associated with the proposed work. At a minimum, the plan must include:

- HSE Responsibilities, including the identification of the onsite contractor staff responsible for HSE performance;
- HSE induction process and outline of content;
- Incident reporting and investigation procedures;
- HSE records including monthly reporting to Transurban;
- Training;
- Emergency response; and
- Injury management.

6.2 Work Authorization

Work Authorization is not required. In lieu of a work permit, contractor staff working at Transurban offices are to be issued security passes and undergo induction, including the Transurban provided minimum HSE requirements.

6.3 Incident and Injury reporting

All Incidents injuries and near misses are to be reported to the Transurban Responsible Manager in accordance with the *Incident Management Procedure* (TU-ALL-HSE-PRO-0002). Initial notification is to be made within 24 hours of the incident, injury or near miss occurring. Where an incident is notifiable to the relevant statutory authority, the Contractor is to complete an incident report and forward it to the Responsible Manager.

The Contractor has the responsibility to notify the relevant statutory authority of a notifiable incident, in accordance with the legislated incident reporting requirements. Transurban reserves the right to assist the Contractor to investigate the cause of an incident, and the Contractor will comply with any requests for information regarding the incident.

6.4 HSE Records and Reporting

The Contractor is to maintain HSE records and statistics including (as a minimum) statistics for the following:

- Number of fatalities
- Number of major injury reports (beyond First Aid)
- Lost time injury frequency rate
- Number of hours worked in the month and over the prior rolling 12 month period (to calculate the injury frequency rates (IFR)).
- Number of other incidents (e.g. First Aid, property damage)

Contractor HSE Management

- Number of near misses
- Number of hazards reported
- Progress on any non-compliances / non-conformances identified by HSE audits.

The required HSE information for each month is to be entered into the Transurban Transport online form for verification by the Responsible Officer within 4 working days of the end of each month.

6.5 Auditing Contractor Performance

Each Contractor has a duty of care to provide and maintain a safe workplace and consequently has an important responsibility to monitor their performance on a regular basis. Contractors are to provide the findings of their external audit reports to Transurban when requested. Transurban will audit contractor compliance with the HSE Audit procedure (TUSA-PRO-002) through review of monthly reporting obtained from each contractor using Transport.

7 Medium Risk Contractors

Medium Risk Contracts expose Contractor staff to risk above that normally associated with typical office work. This would include toll collector staff, and IT support staff. The contract between Transurban and the Contractor must ensure the requirements of this section are defined and agreed by both parties.

7.1 Contractor HSE Management Plans

For Medium Risk Contracts, the Contractor must have in place an HSE Management Plan prior to commencement of the work. The HSE Management Plan must include all of the items required for Low Risk Contracts, as well as the following:

- HSE site induction;
- Site rules/safety instructions;
- Job hazard analysis / safe work method statement.

7.2 Work Authorization

Work Authorization Forms are not required for Medium Risk Contracts unless an additional job safety analysis or safe work method statement is required. On such a determination, refer below for details regarding the Work Authorization Form. In lieu of a Work Authorization Form, all medium risk contractor staff working at TUSA offices will be issued security passes and undergo an HSE induction, including HSE requirements to work safely at the roadside.

On determination that Work Authorization Forms will be required, issuance of the Work Authorization Forms will be the responsibility of the Responsible Manager. Refer to the Work Authorization Form, or if the Contractor has a Work Authorization process, then this can be used. The work authorization must include, as a minimum:

- Who, when and where work is planned;
- Identification of risks by the person/s undertaking the work and controls to manage the work in the form of a Job Hazard Analysis/Safe Work Method Statement (e.g. FOHSE028); and

Contractor HSE Management

- Requirements to consult and advise of hazards with other groups working on site.

On completion of the work, the area / site must be checked to ensure it is safe and secure and returned to normal condition before closing out the Work Authorization.

7.3 Incident and injury reporting

The Contractors are to have procedures for reporting HSE incidents, injuries and near misses as part of their HSE Management Plan. All HSE incidents, injuries and near misses, are to be reported to the Responsible Manager, within 24 hours, using the Contractor's own incident report form. All HSE incidents, injuries and near misses are to be documented in monthly Transurban operations reports.

Upon request, the Contractor will provide all relevant documentation relating to an incident and the subsequent investigation. The Contractor must notify the relevant statutory authority of any recordable incident, in accordance with their HSE reporting procedure. A copy of the completed incident report must be forwarded to the Responsible Manager.

The Contractor will advise as to the progress of any incident investigation, including investigations by HSE Regulators or other statutory authorities. The Contractor will also report the progress of any remedial actions implemented to prevent a reoccurrence of the incident.

7.4 HSE Records and Reporting

The Contractor is to maintain HSE records and statistics including (as a minimum) statistics for the following:

- Number of fatalities
- Number of major injury reports
- Lost time injury frequency rate
- Number of hours worked in the month and over the prior rolling 12 month period (to calculate the injury frequency rates (IFR)).
- Number of other incidents (e.g. First Aid, property damage)
- Number of near misses
- Number of hazards reported
- Progress on any non-compliances / non-conformances identified by HSE audits.

The above statistics and records for the previous month are to be provided to the Responsible Manager with 4 working days of end of each month using Transport.

7.5 Auditing Principal Contractor Performance

Transurban will audit compliance with this procedure by reviewing contractors reports and in accordance with the HSE Audit procedure (TU-HSE-PE-16-HSE Audit and Inspection).

The Contractor will provide copies of all HSE management system certification, surveillance audits or any other HSE audits conducted by the Contractor or its auditors for the purpose of maintaining any safety or environmental certifications. The Contractor will make these audits available to and will report on the progress to close out any non-compliance or audit recommendations in the Contractor's monthly management report to Transurban.

Contractor HSE Management

8 High Risk Contracts

Where a major project involves a Contractor taking possession of a Transurban premises or part of an asset, usually for the purposes of undertaking major construction works, the Contractor must fulfill their obligations under relevant HSE legislation. The Contractor will occupy and control the worksite. However, Transurban may still have responsibility for operating the asset, including management of HSE issues outside of the immediate area occupied by the major construction works. Therefore, there is a need to define the roles and responsibilities of all parties during the contract development stage.

The Contractor must:

- a. Have an HSE Management Plan which is in compliance with Transurban's HSE policy and all applicable legislation;
- b. At all times comply with its HSE Management Plan; and
- c. Carry out works in a safe manner and so that no injury is caused to any person or damage to any property or the environment.

8.1 Contractor HSE Management Plan

The Contractor's HSE Management Plan must include the items listed above for Low and Medium Risk Contracts, as well as:

- Employee/Contractor consultation process;
- Risk/hazard assessment;
- Job hazard analysis or assessment / Safe Work Method Statements for high risk construction activities;
- HSE audits and inspections;
- Corrective and preventative actions;
- HSE issue resolution;
- Training, including any specific requirements relevant to the planned work.

8.2 Work Permit

For each High Risk Contract, TUSA, in consultation with the Contractor and other stakeholders, will prepare a specific procedure for detailing how work on TUSA assets will be managed during the period of the contract. This procedure will also be binding on TUSA employees and Contractors/Sub-contractors working at the site. The procedure will include the following:

- Project overview;
- TUSA involvement in the project;
- Notification requirements;
- Timing of regular works co-ordination meetings;
- Work methodology (as per Safe Work Method Statement for high risk construction activities);
- Work permit application process and processing;
- Undertaking works; and
- Re-commissioning of asset.

Contractor HSE Management

8.3 Incident and injury reporting

For High Risk Contracts, the Contractor must have in place appropriate procedures for reporting HSE incidents, injuries and near misses. All HSE incidents, injuries and near misses are to be reported to the TUSA Responsible Manager in accordance with TUSA procedure Incident Reporting and Investigation (TUSA-PRO-001) within 24 hours.

8.4 HSE Records and Reporting

The Contractor is to maintain HSE records and statistics including (as a minimum) statistics for the following:

- Number of fatalities
- Number of major injury reports
- Lost time injury frequency
- Number of hours worked in the month and over the prior rolling 12 month period.
- Number of other incidents
- Number of near misses
- Number of hazards reported
- Progress on any non-compliances / non-conformances identified by HSE audits.

The above statistics and records for the previous month are to be provided to the TUSA Responsible Officer with 4 working days of end of the month utilizing the Contractor HSE Monthly Report Form (TUSA-FOR-041).

8.5 Auditing Contractor Performance

The Contractor has a duty of care to provide and maintain a safe workplace and consequently has an important responsibility to monitor their performance on a regular basis.

The Principal Contractor will provide TUSA with copies of all HSE management system certification, surveillance audits or any other HSE audit reports conducted by the Principal Contractor or its auditors. The Principal Contractor will make these audits available to TUSA and will report on the progress to close out any non-compliance or audit recommendations in the Principal Contractor's monthly management report to TUSA.

TUSA will also undertake, when it considers necessary, "HSE system performance and benchmarking reviews" of the Contractor's HSE Management Systems. The "HSE system performance and benchmarking review" will normally assess the HSE performance of the Principal Contractor against five key criteria in accordance with OHSAS 18001 or other equivalent standard.

The "HSE system performance and benchmarking review" is not a certification audit and the Principal Contractor must undertake separate certification audits to maintain certification with the relevant bodies.

8.6 HSE Contractor Qualification

Contractor HSE Management

The following information is will be used for evaluating HSE performance to determine to the extent applicable, to be consistent with Transurban's HSE Policy and with Transurban's Contractors' HSE Management Procedures.

Passing the HSE Contractor Qualification process requires meeting all of the following criteria:

1. A current EMR of less than or equal to 1.0
2. A current OSHA Recordable Injury Rate less than or equal to the most recent applicable NAICS average
3. A current Lost Time Injury Rate less than or equal to the most recent applicable NAICS average

Contractors must be approved by the Transurban HSE Lead, and the VP Operations, Head of Delivery, VP Technology, or Chief Financial Officer. A company that does not meet all of the required criteria may receive Conditional Approval. The Conditional Approval process is intended to be used in those unique cases where a specific contractor's EMR and/or injury rates do not meet the minimum standards set for contractors working at Transurban.

A contractor may be eligible for conditional approval due to all or some of the following unique conditions:

1. Expertise required to complete a specific type of work scope is in short supply
2. Significant cost savings exist because of the contractor's proximity to the Transurban asset or other reasons
3. Contractor's safety record over a 3-year period demonstrates steady and continuous improvement.

Conditional HSE Approval for services must be approved by the VP of Operations, Head of Delivery, VP of Technology, or Chief Financial Officer.

Prerequisites required for a contractor to be considered for Conditional Approval are:

1. Contractor has submitted all information requested for the HSE Contractor Qualification process, and has not met the minimum criteria.
2. Contractor has written HSE programs in place that meet minimum regulatory and Transurban requirements.
3. A written HSE Plan will be jointly developed and documented by Transurban and the contractor seeking Conditional Approval that addresses the deficiency in ratings and the special actions or precautions that will be implemented prior to and during its work to ensure the HSE performance will meet Transurban's requirements. The HSE Plan shall include a description o how it will be implemented, documented and monitored by Transurban and the Contractor.

The Contractor's Project Manager, the Transurban Contract Manager, and the Transurban HSE Lead will determine the most appropriate method to meet these requirements. It is recommended that an ongoing and frequent check of the work is made so that any discrepancies or violations will be detected early for quick resolution.